

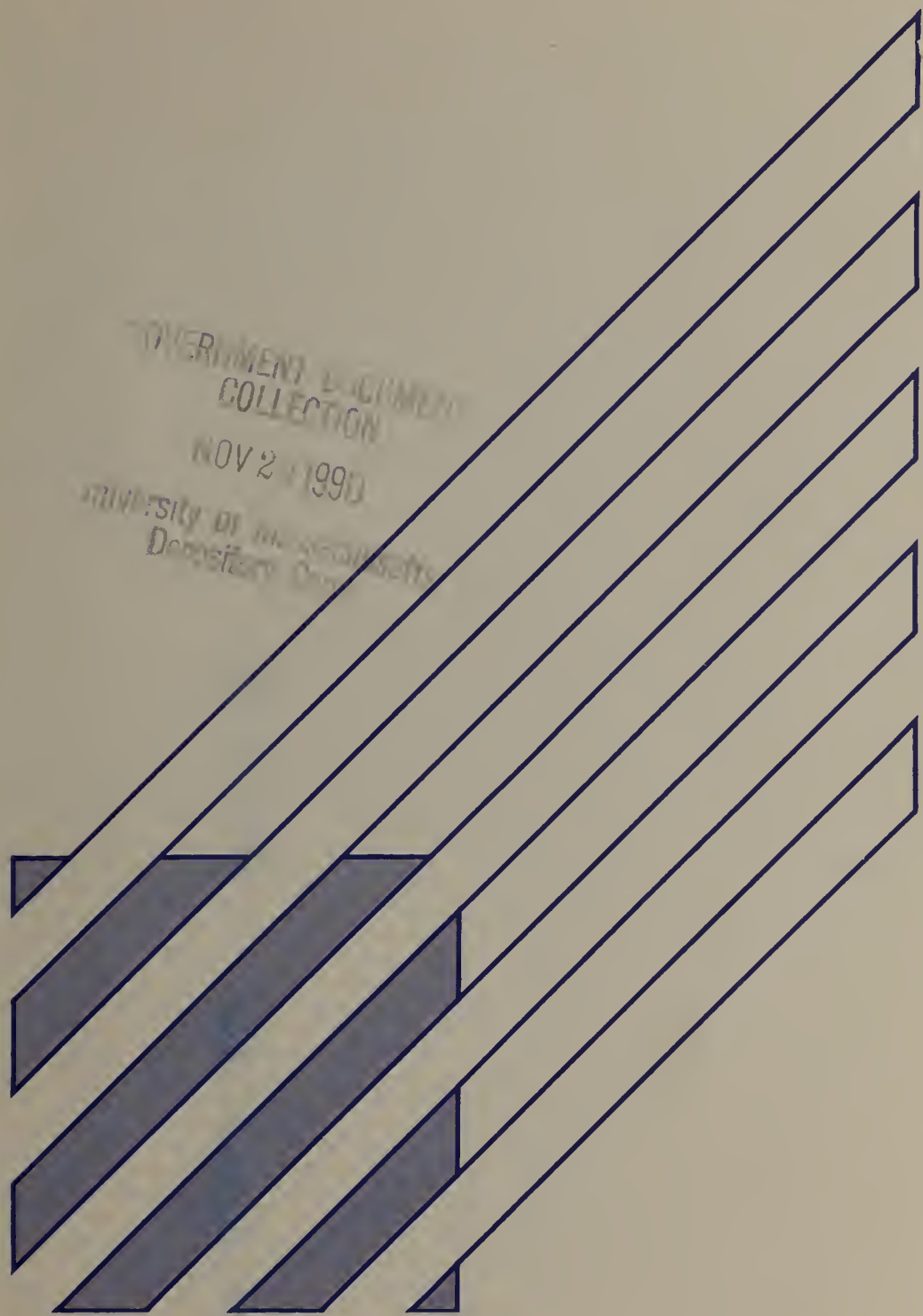
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ANALYSIS OF PAROLE CASE PROCESSING: EXECUTIVE SUMMARY



Prepared for the
Massachusetts Parole Board

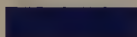


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ANALYSIS OF PAROLE CASE PROCESSING: EXECUTIVE SUMMARY

**Prepared for the
Massachusetts Parole Board**



Michael S. Dukakis, Governor
Philip W. Johnston, Secretary of Human Services
John J. Curran, Jr. Chairman

Michael J. Albano, Member Joyce Hooley, Member
Kevin Burke, Member Donald J. Myers, Member
Robert P. Gittens, Member Ruth Atkins Suber, Member
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MASSACHUSETTS PAROLE BOARD STAFF WORKING GROUP

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Scott Taberner, Fiscal Director
Edward Dolan, Director, Planning and Research Unit

and

The Entire Staff of Institutional Services

ANALYSIS OF PAROLE CASE PROCESSING: EXECUTIVE SUMMARY



**Prepared for the
Massachusetts Parole Board**

by

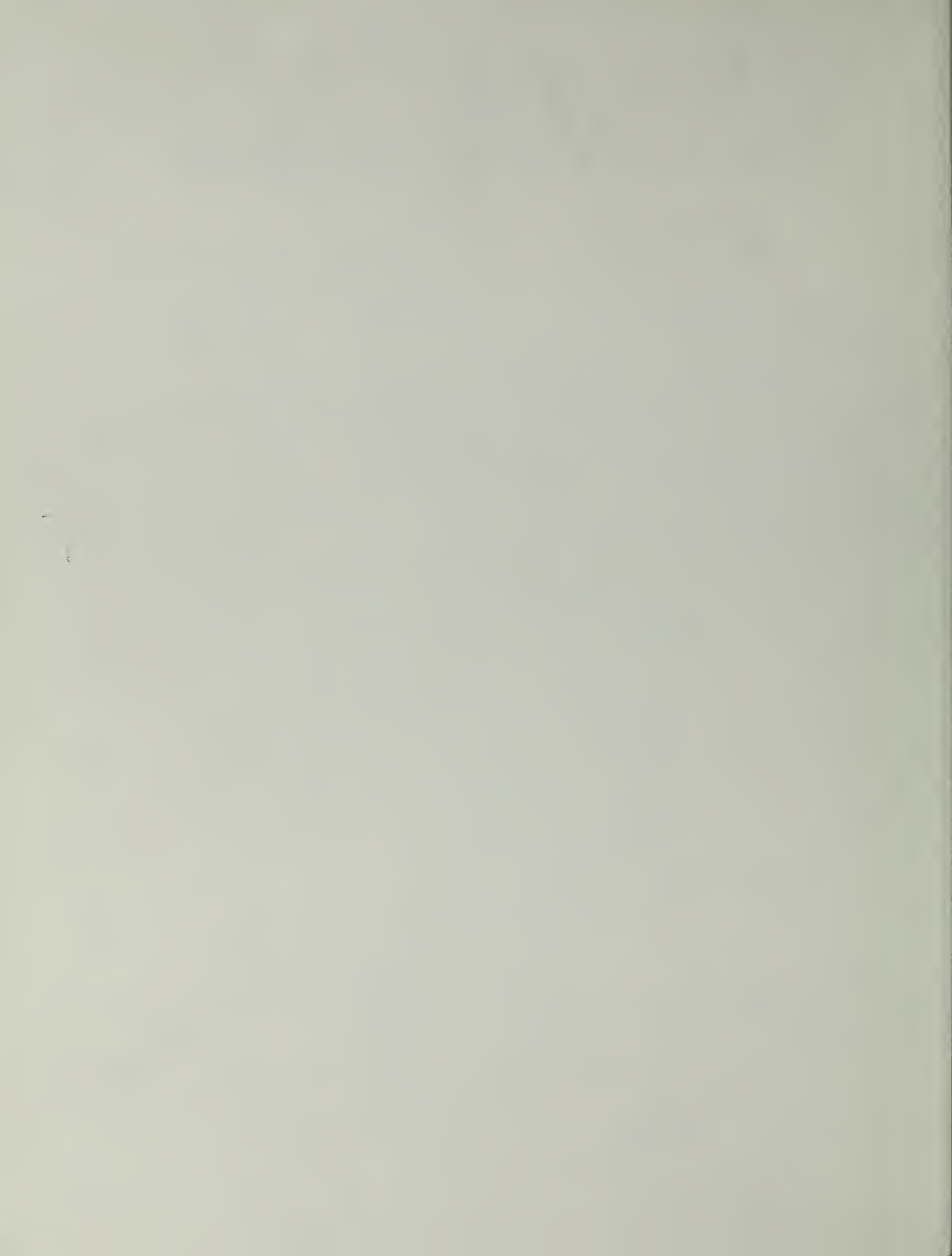
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February 1989

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FOREWORD

As Chairman of the Massachusetts Parole Board, I am acutely aware of the Board's responsibilities for making parole release and revocation decisions. I am equally aware of how important good information is to our decisions. The Board's case processing system is its vehicle for ensuring that information--accurate, complete, and reliable--is available for the decisionmaker.

This document represents a major step forward for the Massachusetts Parole Board. It signals our commitment to exercise more effective and efficient management of the flow of information which supports our critical release and revocation decisionmaking duties. The commitment to retool our case processing system was undertaken in tandem with our broader strategic planning efforts and stands as a companion piece to Parole: Meeting the Challenge, The Strategic Plan of the Massachusetts Parole Board. These two efforts would not have been possible without a special management reserve appropriation made available by the members of the Massachusetts State Legislature, to whom we are most grateful. I would also like to express my appreciation to Governor Dukakis and to Secretary Johnston for their support of our efforts.

The members and staff of the Massachusetts Parole Board have worked together diligently on this effort. The entire staff of the Institutional Services Department gave generously of their time and ideas during this project. Special recognition is due to Jack Frazier, Director of Institutional Services, and to his Deputy Chiefs, William Tucker, Donald LaFratta, and Noreen Murphy, for their long hours of effort dedicated to his project. The Board's Fiscal Director, Scott Taberner, and its Director of Planning and Research, Edward Dolan, were also key to this effort.

I would also like to acknowledge the valuable assistance of our contract team from Toborg Associates. They have worked closely with us throughout the project and have structured with us a plan of action which we are already beginning to implement. The challenge now remaining for the Board and its staff is to build upon the work already begun and to translate the full set of proposed changes into practice. I feel confident that the energy and dedication already apparent in this project will continue to inform our work as we implement the action plan summarized in the following pages.

John J. Curran, Jr.
Chairman
Massachusetts Parole Board
February 1989

ACKNOWLEDGEMENTS

A project of this scope could not have been completed without the assistance of a great many persons. We would especially like to thank John J. Curran, Jr., Chairman, Massachusetts Parole Board (MPB); Members Michael Albano, Kevin Burke, Robert P. Gittens, Joyce Hooley, Donald J. Myers and Ruth Atkins Suber; Ruth Ann Jones, Executive Director; Edward J. Dolan, Director of Research and Planning; Jack Frazier, Director of Institutional Services (IS); Tim Zadai, Field Services Director; Scott Taberner, Fiscal Director; John Matthews, Hearings and Revocations Director; Joseph Williams, Special Operations Director; Yvonne Gonzalez, Legal Services Director; and David McGrath, Executive Assistant for their assistance in helping us understand the overall operations of MPB and the role of case processing in those operations.

We would also like to thank the IS Deputy Chiefs--Don LaFratta, Noreen Murphy and William Tucker--for their assistance throughout the project. Moreover, we are indebted to each of the individual staffmembers working within IS who took the time to explain the various case processing steps in different institutions, to complete detailed workload survey forms and to answer our many questions about specific operational details. Their assistance, and willingness to give freely of their time despite diverse workload pressures, greatly facilitated our task.

Thanks are also due to the study team from COSMOS Corporation and Arthur D. Little who conducted the companion project to this effort, the development of the Strategic Plan. The sharing of information from that project increased our overall understanding of MPB's operations and its plans for the future. This in turn helped us shape recommendations regarding case processing with that broader framework in mind. Particular thanks are due to Ms. Peggy Burke, Project Manager for the overall contract as well as Project Director for the Strategic Plan. Thanks also go to Mr. Michael Tate, Ms. Kay Snowden and Ms. Peggy McGarry for their assistance.

ABSTRACT

This Executive Summary presents the key points from the full-length Final Report of a study of parole case processing by the Institutional Services (IS) Department of the Massachusetts Parole Board (MPB). Based on an in-depth analysis of current practices, a variety of changes were recommended; these are summarized in Figure 1 at the end of this document. Many of the recommended actions shown there have already been initiated, and others are currently under active consideration by MPB.

Suggested improvements described in this report are of several types. The first consists of "recommendations for priority action," which are viewed as deserving a high level of immediate attention by top agency management. The second category is "potential innovations" that should be considered for adoption in the future, once the top priority areas have been addressed. Finally, "administrative details" are matters that could easily be inadvertently overlooked as major changes in the case processing system occur, although attention to these details would greatly facilitate the ability of IS staff to perform critical case processing functions.

Modifications are proposed in the content and format of the information packets used by parole decisionmakers; the way information is transferred, both within the agency and between the agency and other organizations; the procedures for storage and retrieval of information; management information systems; the process used for office votes; internal agency communications; and physical facilities for IS staff. The estimated time horizon over which each recommended change could likely be implemented (short-, intermediate-, or long-term) is discussed, along with who must initiate, approve and implement each change.

Many of the recommended actions are interrelated. For example, certain actions must occur before others can be undertaken. Additionally, in some instances actions of other agencies will have a great impact on MPB's ability to initiate specific changes.

The completion of this project represents one step in the longer term, on-going process of improving parole case processing in Massachusetts. The implementation of the recommendations presented in this report will significantly enhance the current manual recordkeeping systems for case processing. This, in turn, will greatly facilitate the automation of those records, which is a key component of MPB's plans for the future. These improvements in recordkeeping--both manual and automated--will continue the process MPB has begun of improving parole decisionmaking through a system that reflects accountability, fairness and concern for public safety.

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EXECUTIVE SUMMARY

A. Background

Faced with sharp increases in workload in recent years, the Massachusetts Parole Board (MPB) undertook an ambitious program for responding to the new demands placed upon it. A key aspect of that response was to commission two related projects, performed by the team of COSMOS Corporation (prime contractor), Arthur D. Little and Toborg Associates.

The first project entailed the development of a strategic plan, charting a course for the agency for the next five years. That project, conducted primarily by COSMOS and Arthur D. Little, is discussed in the April 1988 MPB publication, Parole: Meeting the Challenge--The Strategic Plan of the Massachusetts Parole Board.

The second project, performed primarily by Toborg Associates, analyzed parole case processing by the Institutional Services Department and culminated in a Final Report containing a series of recommendations for ways to modify current procedures to better meet the growing demands on the agency.¹ This Executive Summary presents the salient points from that Final Report.

Although these two projects resulted in separate reports, both MPB and the contractor team viewed them as closely interrelated efforts. Thus, there was considerable, frequent interaction among the staff working on both projects, with a resulting cross-fertilization of ideas between the two. The two reports are, therefore, companion documents that can be read separately but will benefit from joint review.

B. The Role of Institutional Services

The Institutional Services (IS) Department is the primary unit within MPB responsible for parole case processing before and after all parole release, rescission and revocation hearings.²

¹Mary A. Toborg, John P. Bellassai, Peggy Burke and others, Analysis of Parole Case Processing by Institutional Services: Final Report, submitted to the Massachusetts Parole Board in August 1988.

²Parole release hearings are held to decide whether to release an inmate on parole; rescission hearings occur when a parole release date previously set by the Board is rescinded (e.g., due to negative behavior in the institution in the interim between an earlier hearing and the scheduled release date); and revocation hearings are held to decide whether a parolee's

As such, IS, its staff and its operations are the central focus of the analysis of parole case processing. The Department has four major objectives, as follows:

- to calculate parole eligibility dates and track inmates through the case preparation and hearing cycle;
- to provide the Board with necessary background data on offenders and their cases for well-informed decision-making;
- to provide inmates, correctional staff, victims and their families, and other interested parties with information and advice concerning agency policies and practices; and
- to process the decisions made by the Board with regard to parole releases, rescissions and revocations.

In support of these objectives, IS employs a staff of 72 professionals, 62 of whom currently work in 23 offices located in correctional institutions across the State, from which they service 18 State (Department of Corrections) and 16 County (House of Correction) institutions and pre-release centers, plus several alcoholism rehabilitation centers. Management of the Department consists of the Department Director and four (until recently, three) Deputy Directors who report directly to him, all five of whom, with clerical support, are based in the Boston Central Office.

Each Institutional Parole Office is managed by an Institutional Parole Officer (IPO), of which there were 23 at the time this report was prepared. The primary responsibilities of the IPOs and their staffs are to calculate parole eligibility dates; prepare case summaries for hearings by the Board Members or Hearing Examiners; interview and counsel parole-eligible inmates in advance of and subsequent to hearings; and prepare official correspondence, notices and other materials relative to the results of release, rescission and revocation hearings. IPOs report to the Department Director through their respective area Deputy Directors.

The workload of Institutional Services has increased greatly in recent years, due to the ever-increasing prison population in both State and County institutions and to the fact that MPB's paroling authority has been expanded so that it now includes all county inmates incarcerated 60 days or more as well as all state

release should be revoked, resulting in the parolee's return to confinement.

inmates. In 1987, MPB conducted over 9,000 hearings in State and County cases--up from 3,535 in 1978.

C. The Need for the IS Case Processing Analysis

As workload increased, a diversity of arrangements emerged to accommodate it--by MPB as a whole and by IS in particular. Consequently, case processing procedures soon varied substantially across institutions, and the need for more uniform procedures became increasingly apparent. Thus, MPB contracted for an analysis of parole case processing--both an analysis of current practices and recommended improvements to the case processing system, covering the following areas:

- development of a clear and well-integrated system of processing forms;
- the nature of the substantive information that is essential to maintain in the case processing system, and how it should be managed;
- strategies to make information processing simpler and more efficient, through integration of manual forms and records with automated processing approaches;
- the development of processing time standards and management controls to monitor them;
- the development of quality control and management oversight procedures to monitor the quantity and quality of parole case processing;
- the development of standardized records management practices and procedures that will enhance the ease of information access, exchange and retrieval both within the Parole Board and between the Board and interface agencies, while at the same time complying with State laws about privacy and security of criminal justice information; and
- the necessary staffing levels and skills needed adequately to perform parole case processing work.

D. Scope of the Project

Several major tasks were performed to accomplish this scope of work. The first was to review materials provided by MPB concerning the agency mission, the role of IS, current case processing steps and general background information. Part of this initial orientation also included meetings with members of

the Central Office management staff to discuss their perspectives on case processing and to develop a flow chart of the present case processing approach.

Subsequent to these activities, a series of site visits were made to a representative sampling of State and County correctional institutions, located throughout Massachusetts. These institutions included the State facilities of Norfolk, Concord and Framingham and the County facilities of Deer Island, Springfield and Lawrence. During these site visits, IS staff were interviewed to determine the nature of current parole case processing, including the identification of any problems that existed with those procedures and ways that those problems might be resolved. Additional interviews were also held with Central Office staff about particular facets of case processing. Altogether, approximately 50 MPB personnel around the State were interviewed about how parole case processing works and how it could be improved.

During this phase of the study, special attention was given to MPB's need for a workload analysis of IS. Based on the interviews, 15 major categories of activities that IS staff routinely perform were identified, and a workload analysis form was designed for use by IS staff in counting these activities and estimating the time spent on them each day. This workload survey was implemented over a five-work-day period that was considered a typical workweek for IS staff. Workload information was received and analyzed from 66 individual IS staffmembers--34 working in State institutions and 32 in county facilities. Results were presented in a monograph, entitled Institutional Services Workload Analysis, submitted to MPB in September 1987.

Based on the findings from the workload analysis and the interviews, we then prepared an Interim Report, entitled Description of Current Parole Case Processing by Institutional Services, covering the following items:

- a cataloging and assessment of all forms used by the various units to process cases;
- a determination of the adequacy of information available to the various units;
- the charting of paperflow among units, and between units of MPB and other agencies, such as the Department of Corrections, Houses of Correction, police departments, probation, courts, victims, etc.;
- the measurement of time and analysis of the specified tasks required to complete the processing of cases, with particular emphasis on bottlenecks which significantly impact the efficiency of the process;

- a determination of where and to what extent the actual activities and performance of the units are at variance with written policies and procedures;
- an evaluation of the adequacy and effectiveness of management controls;
- a determination of the adequacy of the agency's record-handling, data retention and retrieval systems; and
- an assessment of the workload of the various units compared to available levels of staff.

Shortly after completion of the Interim Report, two days of meetings were held by the Toborg Associates Project Team with all IS staffmembers (half attending on one day and the other half on the second) and selected other agency personnel to discuss the study's findings to date and to consider possible ways to improve case processing. These meetings generated a considerable number of excellent suggestions about ways that case processing might be improved. The contractor team then reviewed these suggestions, along with other materials acquired or developed during the course of the project, as part of the preparation of the Final Report.

The Final Report presents the overall findings, conclusions and recommendations from the study as a whole. It covers the suggested content and format of information packets for decisionmakers, transfer of information, and storage and retrieval of information--all key aspects of case processing. It also addresses four other topics that affect case processing, namely, management information systems, the procedures for office votes, internal agency communications and physical facilities for IS staff.

E. Recommendations from the Study

The Final Report presents several types of suggested improvements for MPB to consider. The first type consists of "recommendations for priority action," which are matters we think deserve a high level of immediate attention by top agency management. The second category of suggestions consists of "potential innovations"--which we think MPB should consider adopting in the future, although these actions would not be practical ones to implement currently. Finally, "administrative details" consist of matters that could easily be inadvertently overlooked as the case processing system is changed--but attention to these details will greatly facilitate the changes themselves. A total of 55 specific recommendations for changes in policies, procedures and systems for parole case processing are discussed in the full-length Final Report.

Figure 1, which appears at the end of this text, summarizes the various recommendations for priority action, for potential innovations and for dealing with administrative details that emerged from the analysis of parole case processing and that are discussed in detail in the Final Report. Figure 1 also shows (1) the estimated time horizon over which each action could likely be implemented (i.e., short-, intermediate-, or long-term); and (2) who must initiate, approve and implement each action.

As indicated in Figure 1, many of the proposed changes could be implemented within the short-term (e.g., within six months), while others are feasible only over the intermediate-term (e.g., within seven to 18 months) or the long-term (e.g., after 18 months). Moreover, certain actions must occur before others can be considered. Also, certain actions cannot reasonably be undertaken until automation has occurred.

In some instances actions of other agencies will have a great impact on MPB's ability to initiate certain changes. For example, collecting information on the official version of the offense from the courts shortly after the sentence has been imposed requires the cooperation of the courts. Similarly, obtaining better information from the Department of Corrections (DOC) about the impending transfer of inmates to other institutions requires the cooperation of DOC.

For these reasons, the time estimates in Figure 1 must be viewed as rough ones, subject to change as events unfold. Nevertheless, they provide a good starting point for assessing the time horizon over which various changes can reasonably expect to be implemented and the phasing of those actions.

Figure 1 also shows the major individuals and/or organizational units that must initiate, approve and implement each suggested change. (Other individuals and units may also, of course, be involved in these processes.) As Figure 1 illustrates, revisions in parole case processing require an agency-wide commitment and involvement; they cannot occur through the efforts of IS alone. Moreover, some actions will require the concurrence of other agencies (e.g., DOC, Houses of Correction, the courts, etc.).

Many of the recommended actions shown in Figure 1 have already been initiated during the course of this project. Others are now under active consideration as a result of the work undertaken to date.

It is clear from a review of Figure 1 that many of the recommendations are interrelated. For example, if MPB moves toward use of a standardized parole hearing summary, with more analysis and verification by IS staff and less copying of source

documents, this could save IS staff time to be used for conducting more extensive interviews with inmates. It would also affect the storage requirements for casefiles both at the Central Office and in the individual institutions.

Because of the interrelated nature of our recommendations, it is important that the actions summarized in Figure 1 be viewed as a package. Hence, if a particular recommendation is not accepted, because the problem it addresses is being handled in another way, it is important for MPB to consider the impact on other suggested actions, so that key areas of concern are not overlooked inadvertently.

Suggested actions in Figure 1 are presented under seven major headings, corresponding to major topic areas addressed in the Final Report. These topic areas are briefly described below.

(1) Content and Format of Information Packets for Decisionmakers

A critical aspect of the workload of the IS staff is to prepare information packets for use by Parole Board Members and Hearing Examiners when making parole release and revocation decisions. At present both the content and the format of these packets vary considerably. Although IS staff try to acquire all relevant information that could be useful for decisionmaking, this effort is hindered by the brief amount of time now available to do so, the current inadequacy of many source records and the lack of clearly enunciated priorities regarding the relative importance of various items of information.

To a large extent, these difficulties stem from the great increase in workload experienced in recent years by MPB and other criminal justice agencies in Massachusetts. Under the pressure of this increased workload, a variety of practices evolved in response at individual IS offices around the State.

As part of the analysis of case processing, we identified a number of ways that these practices might, over time, be modified to improve the content and format of the information packets. Figure 1 presents 16 suggested actions designed toward that end.

(2) Transfer of Information

Parole case processing by its very nature involves the constant transfer of a great amount of important and case-sensitive information within the agency--between the various institutions and the Central Office, between divisions, and within the management hierarchy--and between the agency and other

organizations with which it interfaces. The timely transfer of such information is critical to the successful performance of major aspects of MPB's mission, including protecting community safety, making fully informed parole release and revocation decisions, and assisting offenders to reintegrate themselves into the community.

Based on our analysis of parole case processing, a number of areas suggest themselves in which MPB could improve the quality, reliability and timeliness of information transfer. Figure 1 presents nine suggested actions to achieve this end.

(3) Storage and Retrieval of Information

At present, voluminous parole-relevant files and records are maintained at the MPB Central Office as well as at the many other MPB facilities across the State. These facilities include the 11 State and 14 County correctional institutions within which IS units are housed.

This decentralized record-keeping system presents a variety of information storage and retrieval problems that directly impact on the efficiency and effectiveness of parole case processing in Massachusetts. These problems could be alleviated through the implementation of the nine specific actions shown in Figure 1.

(4) Management Information Systems

As part of its strategic planning process, MPB identified information support as a major area of emphasis in the coming years. A variety of activities are now underway and planned to improve the agency's management information systems. Throughout this process it will be important to integrate changes in IS case processing--and related data collection efforts--into the overall plan for improving MPB's information system as a whole. Six suggested actions shown in Figure 1 deal with areas of overlap between MPB's agency-wide management information systems and IS' case processing activities.

(5) Office Votes

Office votes account for a large part of the decisionmaking workload of MPB. Although many of the matters requiring office votes can be handled by a single Board Member (i.e., only one vote is required), some involve the entire Board and others require four agreeing votes. Hence, the office vote workload faced by Board Members is substantial. It is also, like many other aspects of MPB's workload, growing.

A variety of steps have been taken to revise the office vote procedures to accommodate the increased workload. Nevertheless, there is still considerable dissatisfaction with the present office vote system, in particular, with the length of time that is sometimes required to obtain a final vote and to notify all interested parties of the result. Seven specific actions are recommended, and summarized in Figure 1, to alleviate such problems.

(6) Internal Agency Communications

During the case processing analysis, a variety of suggestions emerged concerning changes in internal agency communications that would enhance the ability of IS staff to perform its functions and to facilitate its understanding of the role its efforts play in the overall mission and specific activities of the agency. Figure 1 presents five specific recommendations to that effect, some of which could have a broader impact on IS--and MPB--than simply the facilitation of improved case processing.

(7) Physical Facilities for IS Staff

To function effectively, IS staff need to have adequate physical space in which to perform their various parole-related responsibilities. This includes sufficient floor space to house staffmembers, files and office equipment comfortably; places to interview and counsel inmates in private; and adequate rooms for parole hearings. Additionally, these physical facilities should be maintained at reasonable temperatures and with adequate ventilation. At present these conditions are not always met at the various State and County institutions where IS staff work. Three specific recommendations included in Figure 1 are designed to attain improved physical facilities for IS staff.

F. Concluding Remarks

In conclusion, the various actions suggested in this report--and developed in close cooperation with IS and other MPB staff as well as Board Members--are designed to improve parole case processing and, thus, to improve the quality of the parole decisionmaking process. The changes suggested in Figure 1, and discussed in detail in the full-length Final Report, should facilitate that goal by providing for case processing which is more systematic and more focused on areas of key concern.

The completion of this project represents one step in the longer term process of improving parole case processing. The implementation of recommendations presented in this report will significantly enhance the current manual recordkeeping systems for parole case processing. This, in turn, will greatly facilitate the automation of those records, which is a key component of MPB's plans for the future. These improvements in recordkeeping--both manual and automated--will continue the process MPB has begun of improving parole decisionmaking through a system that reflects accountability, fairness and concern for public safety.

Figure 1. Summary of Suggested Actions by Type, Along With Estimated Timing and Responsibilities

Suggested Action	Type*	Timing			Responsibility		
		Short-Term	Inter-mediate-Term	Long-Term	For Initiation	For Approval	For Implementation
<u>Content and Format of Information Packets for Decisionmakers</u> <ul style="list-style-type: none"> ● Develop standard format and content for a summary to be used for both state and county cases. - Adopt current, experimental summaries at all institutions: Initial phases(s) Subsequent phases - Revise summaries to be consistent with efforts to improve decision-making structures (re: stakes, risks and needs) ● IS staff should synthesize and analyze data for inclusion in the information packets. ● Reduce the extent to which copies of source documents are included in the information packets prepared for the Board. ● Organize the materials in the information packets in a standardized way. 	P	X	X		IS IS	Board Board	IS IS
	P	X		X	Board	Board	IS
	P	X			IS	Board	IS
	P	X			IS	Board	IS

(Continued)

*P indicates recommendation for Priority action; I indicates potential Innovation; and D indicates administrative Detail.

Figure 1. Summary of Suggested Actions by Type, Along With Estimated Timing and Responsibilities

Suggested Action	Type*	Timing		Responsibility		
		Short-Term	Inter-mediate-Term	Long-Term	For Initiation	For Approval For Implementation
<u>Content and Format of Information Packets for Decisionmakers (continued)</u>						
<ul style="list-style-type: none"> Develop a standardized interview form for use in interviewing inmates - Short form - Longer form 	P	X			IS	N/A IS
<ul style="list-style-type: none"> Request information on the "official version" of the offense early in the period of incarceration. - Information from current sources - Information from courts 	P	X	X		IS	Current sources IS
<ul style="list-style-type: none"> Request information on sentence structure early in the period of incarceration, at least for state cases, so that follow-up about possible problems can occur with the court at an early date. - State cases - County cases 	P	X		X	Chairman	Courts IS
<ul style="list-style-type: none"> Train IS staff in the application of the Board's decision policy and the use of decision tools. 	P	X			Board	Board, IS

(Continued)

*P indicates recommendation for Priority action; I indicates potential Innovation; and D indicates administrative Detail.

Figure 1. Summary of Suggested Actions by Type, Along With Estimated Timing and Responsibilities

Suggested Action	Type*	Timing		Responsibility		
		Short-Term	Inter-mediate-Term	Long-Term	For Initiation	For Approval For Implementation
<u>Content and Format of Information Packets for Decisionmakers (continued)</u>						
• Revise key forms used in the parole process.	P	X			IS	IS, Board IS
• Interview inmates more than once, e.g., shortly after incarceration and periodically thereafter.	I		X		IS	N/A IS
• Develop risk assessment information to assist the Board in anticipating risk management after release (e.g., help develop release conditions that might reduce the risk levels that would otherwise exist).	I		X		Board, IS	Board, IS, FS IS, FS
• Develop summary measures of information, rather than recording all the raw data.	I		X		IS	Board IS
• Increase efforts to verify information provided to the Board and Hearing Officers.	I		X		IS	N/A IS
• Increase quality control efforts.	I		X		Board, IS	N/A Board, IS
• Develop form letters requesting selected information and consider having the Chairman sign these letters, rather than staff.	D	X			IS	Chairman Chairman, IS
• Collect old forms and destroy them.	D	X			IS	N/A IS

(Continued)

*P indicates recommendation for Priority action; I indicates potential Innovation; and D indicates administrative Detail.

Figure 1. Summary of Suggested Actions by Type, Along With Estimated Timing and Responsibilities

Suggested Action	Type*	Timing		Responsibility		
		Short-Term	Inter-mediate-Term	Long-Term	For Initiation	For Approval For Implementation
<i>Transfer of Information</i>						
● MPB should develop formal, written policies that specify what modes of information transfer are appropriate under given circumstances.	P	X			IS	IS
● MPB should consider implementing an agency courier capability.	P	X			Exec. Director	IS
● MPB should authorize staff to use "overnight mail" and other "priority mail" services for specified documents, under certain circumstances.	P	X			Exec. Director	IS
● IS Area Managers should play a more active role in facilitating and monitoring information transfer within the agency.	P	X			N/A	IS
● MPB should consider implementing an agency-wide system of electronic mail as soon as possible.	I		X		Exec. Director, Info. Systems Manager	IS, Info. Systems Manager
● MPB should attempt to develop a process whereby summary parole packets move with the inmate from one institution to the next, whenever the inmate is transferred during the pre-hearing case preparation stage of the parole process.	I		X		Chairman, IS	IS, DOC

(Continued)

*P indicates recommendation for Priority action; I indicates potential Innovation; and D indicates administrative Detail.

Figure 1. Summary of Suggested Actions by Type,
Along With Estimated Timing and Responsibilities

Suggested Action	Type*	Timing			Responsibility		
		Short-Term	Inter-mediate-Term	Long-Term	For Initiation	For Approval	For Implementation
<u>Transfer of Information (continued)</u>							
● MPB should develop more efficient alternatives to the way home and work papers presently move between Institutional Services and Field Services.	I	X			IS,FS	N/A	IS,FS
● IS should equip each of its institutional units with adequate postal equipment and supplies.	D	X			IS	Exec. Director	IS
● IS Area Managers should work to establish better cooperation with their DOC and HOC counterparts in such areas as sharing of couriers, inmate transfer staff, etc., so as to improve overall inter-agency information transfer.	D	X			IS	N/A	IS
<u>Storage and Retrieval of Information</u>							
● Appoint an Information Systems Manager for MPB, with authority to review and, if necessary, revise agency policy on the management of information, both manual and automated.	P	X			Chairman, Exec. Director	N/A	Information Systems Manager
● Develop agency-wide information management policies that specifically address what case-processing-related information should be kept, for how long, where and in how many copies. Promulgate guidelines for staff which implement this policy and monitor staff compliance closely.	P		X		IS	Board, Exec. Director, Legal	IS

(Continued)

*P indicates recommendation for Priority action; I indicates potential Innovation; and D indicates administrative Detail.

Figure 1. Summary of Suggested Actions by Type, Along With Estimated Timing and Responsibilities

Suggested Action	Type*	Timing			Responsibility		
		Short-Term	Inter-mediate-Term	Long-Term	For Initiation	For Approval	For Implementation
<u>Storage and Retrieval of Information</u> <u>(Continued)</u>							
<ul style="list-style-type: none"> Reorganize all information contained in the parole section of the master files according to a uniform system which dictates both overall file contents and the ordering of documents within the file. 	P	X			IS	Exec. Director	IS
<ul style="list-style-type: none"> MPB should take all necessary steps to get physical control over the repository of all parole-related master files, for both State and County cases. If necessary, MPB should create its own master files. 	P	X			Chairman, Exec. Director	N/A	Chairman, Exec. Director, IS
<ul style="list-style-type: none"> MPB should take steps to purge active files of unnecessary documents and to relocate other, older, unused files at IS institutional offices and other MPB locations. 	P	X			IS	Board, Exec. Director, Legal	IS
<ul style="list-style-type: none"> Install word processors in all Institutional Services offices and use their disk storage capabilities (either hard or floppy disks) to reduce the need to keep voluminous "hard copy" records on file in the individual IS offices. 	P		X		IS	Exec. Director	IS
<ul style="list-style-type: none"> MPB should consider phasing out the desk-top 3x5 card files on parolees and parole eligibles now maintained at individual IS offices in favor of a system whereby the same data as now appears on the cards is automated and stored on disk for easy query and retrieval. 	I		X		IS	Exec. Director	IS

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(Continued)

Figure 1. Summary of Suggested Actions by Type, Along With Estimated Timing and Responsibilities

Suggested Action	Type*	Timing			Responsibility		
		Short-Term	Inter-mediate-Term	Long-Term	For Initiation	For Approval	For Implementation
<u>Storage and Retrieval of Information (continued)</u> <ul style="list-style-type: none"> MPB should develop a policy for microfilming designated categories of records and files which are accessed infrequently. MPB should explore options for archival storage of designated categories of records and files at appropriate State Government facilities. 	I		X		IS	Exec. Director	IS
	I		X		IS	Board, Exec. Director, Legal	IS
<u>Management Information Systems</u> <ul style="list-style-type: none"> Begin collecting information on a system-wide basis earlier in the process. Integrate changes in IS data collection with overall information support activities of MPB. Consider conducting a needs assessment for management information (as compared with case processing information). Explore whether information received from DOC regarding transfer of inmates could be improved. Consider centralizing the process of PED calculation. 	P	X			IS	Information Sources	IS
	P	X			IS, Info. Systems Manager	N/A	IS, Info. Systems Manager
	P	X			Board, Exec. Director	N/A	MPB Managers, Info. Systems Manager
	P	X			Chairman, Exec. Director	DOC	DOC, IS
	I			X	IS	Exec. Director	IS

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(Continued)

Figure 1. Summary of Suggested Actions by Type, Along With Estimated Timing and Responsibilities

Suggested Action	Type*	Timing		Responsibility		
		Short-Term	Inter-mediate-Term	Long-Term	For Initiation	For Approval For Implementation
<u>Management Information Systems (continued)</u>						
• Eventually, automate the PED calculation process.	I			X	IS	Exec. Director, Info. Systems Manager IS, Info. Systems Manager
<u>Office Votes</u>						
• Revise the form used to request and record office votes.	P	X			IS	Board IS
• Develop policies regarding time limits within which various types of office votes should be made.	P	X			Board	N/A Board
• Consider having one Board Member serve each week, on a rotating basis, as the Member responsible for office votes that week.	P	X			Board	N/A Board
• Develop standard wording to be used by IS staff to request different types of office votes.	P	X			IS	N/A IS
• Consider whether responsibility for making certain types of office votes could be delegated to selected MPB staff.	P	X			Board	N/A Board, MPB staff to whom delegated
• Consider whether special measures are necessary to deal with the office votes backlog.	P	X			Board	N/A Board

(Continued)

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Figure 1. Summary of Suggested Actions by Type,
Along With Estimated Timing and Responsibilities

Suggested Action	Type*	Timing			Responsibility		
		Short-Term	Inter-mediate-Term	Long-Term	For Initiation	For Approval	For Implementation
<u>Office Votes (continued)</u> <ul style="list-style-type: none">Consider using color coding, so that office votes of different priority levels can be quickly identified.	D	X			IS	N/A	IS
<u>Internal Agency Communications</u> <ul style="list-style-type: none">Consider establishment of an internal IS newsletter.Increase the coverage in the MPB newsletter of significant events affecting IS staff.Consider regional meetings between IS and FS staff, perhaps on an experimental basis.Develop a task force of IS staff to deal with various issues and/or help implement specific changes in procedures.Vary the approaches used to convey information in meetings of IS staff.	P	X			IS	N/A	IS
	P	X			IS	Newsletter Editor	Newsletter Editor, IS
	P	X			IS,FS	Exec. Director	IS,FS
	P	X			IS	N/A	IS
	P	X			IS	N/A	IS

(Continued)

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Figure 1. Summary of Suggested Actions by Type, Along With Estimated Timing and Responsibilities

Suggested Action	Type*	Timing		Responsibility	
		Short-Term	Inter-mediate-Term	Long-Term	
<u>Physical Facilities for IS Staff</u> <ul style="list-style-type: none"> MPB should explore ways in which the physical facilities available at existing Institutions for IS staff and for various Parole Board functions could be improved. MPB should continue its efforts to assure that new correctional Institutions are designed and constructed to meet MPB's needs for suitable space to perform its functions. MPB should consider whether the effectiveness of IS staff might be enhanced if they were based outside of correctional Institutions. 	P	X			Chairman, Exec. Director, IS
					DOC, HOC
					DOC, HOC, IS
	P	X			Chairman, Exec. Dir., Fiscal Dir., IS
					DOC, HOC, State Budget
					DOC, HOC, IS
	P	X			Chairman, Exec. Director, IS
					N/A
					Chairman, Exec. Director, IS

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